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08/10/00PATENT  
Attorney Docket No.: A-67207-2/DJB/RMSIN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application )

Inventor(s): WALT et al. )

Application No.: 09/287,573 )

Filed: April 6, 1999 )

Title: SELF-ENCODING SENSOR  
WITH MICROSPHERES )

Examiner: not assigned

Group Art Unit: 1743

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I hereby certify that this correspondence, including listed enclosures, is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231 on Nov 10, 1999.

Signed: 

Suzan Lindstrom

TRANSMITTALAssistant Commissioner for Patents  
Washington, DC 20231

Sir:

Enclosed herewith are two Verified Statements Claiming Small Entity Status (one for Illumina, Inc. and the other signed by Trustees of Tufts College) for the above application.

The Assistant Commissioner is hereby authorized to charge any additional fees, including extensions, or credit any overpayment to Deposit Account 03-1600 (File No.

A-67207-2/DJB/RMS/DCF).

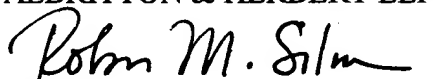
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JAN 12 2000

Respectfully submitted,

FLEHR HOHBACH TEST  
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By



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Date: Nov 10, 1999

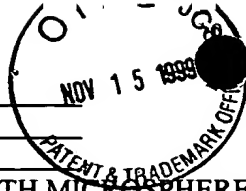
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Applicant or Patentee: David R. Walt and Todd A. Dickinson

Serial or Patent No.: 09/287,573

Filed or Issued: April 6, 1999

For: SELF-ENCODING SENSOR WITH MICROSPHERES



Attorney's Docket No.:

A-67207-2/DJB/RMS

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS**  
(37 CFR 1.9(f) and 1.27(c)) - SMALL BUSINESS CONCERN

I hereby declare that I am

☐ the owner of the small business concern identified below:

☒ an official of the small business concern empowered to act on behalf of the concern identified below

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NOV 19 1999

NAME OF SMALL BUSINESS CONCERN: Trustees of Tufts College

ADDRESS OF SMALL BUSINESS CONCERN: Ballou Hall

Medford, Massachusetts

**TECH CENTER 1600/2900**

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention entitled

SELF-ENCODING SENSOR WITH MICROSPHERES

by inventor(s) David R. Walt and Todd A. Dickinson described in

☐ the specification filed herewith

☒ application Serial No. 09/287,573, filed April 6, 1999

☐ patent no. \_\_\_\_\_, issued \_\_\_\_\_

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights in the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e). \*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

NAME: ILLUMINA, INC.

ADDRESS: \_\_\_\_\_

☐ INDIVIDUAL

☒ SMALL BUSINESS CONCERN

☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING Frances Toneguzzo

TITLE IN ORGANIZATION Director, Office for Technology and Industry Collaboration

ADDRESS OF PERSON SIGNING 136 Harrison Ave, Boston, MA 02111

SIGNATURE F. Toneguzzo

DATE 7-15-99

Applicant or Patentee: David R. Walt and Todd A. Dickinson

Serial or Patent No.: 09/287,573

Filed or Issued: April 6, 1999

For: SELF-ENCODING SENSOR WITH MICROSPHERES

Attorney's Docket No.:

A-67207-2/DJB/RMS

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**(37 CFR 1.9(f) and 1.27(c)) - SMALL BUSINESS CONCERN**

I hereby declare that I am

☐ the owner of the small business concern identified below:

☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN: Illumina, Inc.

ADDRESS OF SMALL BUSINESS CONCERN: 9390 Towne Center Drive, Suite 200  
San Diego, California 92121

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

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**SELF-ENCODING SENSOR WITH MICROSPHERES**

by inventor(s) David R. Walt and Todd A. Dickinson described in

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NAME: TRUSTEES OF TUFTS COLLEGE

ADDRESS: \_\_\_\_\_

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☒ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING John R. Stuefmgel

TITLE IN ORGANIZATION President & CEO

ADDRESS OF PERSON SIGNING 9390 Towne Center Drive, Suite 200, San Diego, California 92121

SIGNATURE John R. Stuefmgel

DATE 7-16-99